APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/895,090	06/29/2001	Rodney C. Burnett	AUS9-2001-0227 US1	6704

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EXAMINER
DARROW, JUSTIN T

ART UNIT	PAPER NUMBER
2132	

DATE MAILED: 03/23/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.	Applicant(s)
Office Action Summary	09/895,090	BURNETT, RODNEY C.
	Examiner	Art Unit	
	Justin T. Darrow	2132	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed
  after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any
  earned patent term adjustment. See 37 CFR 1.704(b).

Status

1) ☐ Responsive to communication(s) filed on _____ .

2a) ☐ This action is **FINAL**.　　2b) ☒ This action is non-final.

3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is
closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4) ☒ Claim(s) *1-25* is/are pending in the application.

　　4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5) ☐ Claim(s) _____ is/are allowed.

6) ☒ Claim(s) *1-25* is/are rejected.

7) ☐ Claim(s) _____ is/are objected to.

8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9) ☐ The specification is objected to by the Examiner.

10) ☒ The drawing(s) filed on *10 April 2002* is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.

　　Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

　　Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

　　a) ☐ All　b) ☐ Some * c) ☐ None of:

　　1. ☐ Certified copies of the priority documents have been received.

　　2. ☐ Certified copies of the priority documents have been received in Application No. _____ .

　　3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage
application from the International Bureau (PCT Rule 17.2(a)).

　　* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1) ☒ Notice of References Cited (PTO-892)

2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
Paper No(s)/Mail Date _____ .

4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ .

5) ☐ Notice of Informal Patent Application (PTO-152)

6) ☐ Other: _____ .

DETAILED ACTION

1.   Claims 1-25 have been examined.

Drawings

2.   The replacement drawings filed 04/10/2002 were received on 04/12/2003. These

drawings are approved.

Claim Objections

3.   Claim 3 is objected to because of the following informalities: delete "resource." in line 2

and replace with --resource identification.--. Appropriate correction is required.

Claim Rejections - 35 USC § 102

4.   The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the

basis for the rejections under this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5.   Claims 1-4, 6-13, 15-21, and 23-25 are rejected under 35 U.S.C. 102(b) as being

anticipated by Hunnicutt et al., U.S. Patent No. 5,889,952 A.

As per claim 1, Hunnicutt et al. illustrate a computer system that determines authorization

privileges for resources for a user, comprising:

a file system on which the resources reside (see column 3, lines 51-55; figure 1, items 107 and 109; a file storage volume on non-volatile memory containing various files);

a first software (see column 3, lines 40-45; figure 1, items104 and 105; programmed instructions for an access check system stored on Random Access Memory (RAM) and Read Only Memory (ROM);

the first software acting to:

intercept an authorization request from a user for a particular resource (see column 6, lines 13-15; figure 3, item 300; User 1 requests to read a file);

search a cache to determine if the resource may be accessed by the user (see column 6, lines 13-19; figure 4, items 401 and 402; checking the access-cache for an access-permission matching the current request, comprising a file-name field and a user-token field,

where the cache contains results of prior authorization requests (see column 4, lines 11-21; figure 2, items 204 and 205; where the user token corresponds to a particular user at this request during the current login and previous requests during previous logins); and

selectively authorize (see column 6, lines 16-22; figure 4, items 405, 300, and TOKEN1; when the access-permission contains the token for User 1 with the file-object, User 1 has been granted permission to read the file) or deny the use of the resource based upon a result of the search of the cache (see column 7, lines 23-32; if the user-token is not present or has been removed from the access-cache, the possibility of allowing access to resources to the user has been eliminated).

As per claim 2, Hunnicutt et al. further disclose:

that the first software authorizes or denies the use of the resource based upon

predetermined parameters (see column 6, lines 14-16; figure 4, items 401 and 402; access

permission based on the user token and file-name; see column 6, lines 55-62; and on level of

access, such as full control, read-write, and read).

As per claim 3, Hunnicutt et al. then specify:

that a predetermined parameter comprises a requesting resource identification (see

column 6, lines 14-16; figure 4, items 401 and 403; access permission based on the file-name of

the file-object requested by the user).

As per claim 4, Hunnicutt et al. additionally point out:

that a predetermined parameter comprises a user ID (see column 6, lines 14-16; figure 4,

item 402; access permission based on the user token).

As per claim 6, Hunnicutt et al. moreover describe:

that the search of the cache is based on a key, derived from one or more search

parameters (see column 6, lines 16-19; figure 4, items 401, 402, and 405; the access-permission

is searched by a file-name field containing the name of the requested file and a user-token field

containing User 1's user-token).

As per claim 7, Hunnicutt et al. then elaborate:

that one of the parameters comprises the FID (see column 6, lines 16-19; figure 4, items
401 and 405; the access-permission is searched by a file-name field containing the name of the
requested file).

As per claim 8, Hunnicutt et al. alternatively explain:

that the first software initiates an authorization protocol that determines an authorization
status of the resource when the search of the cache of authorization requests fails to reveal any
previous requests (see column 6, lines 35-44; figures 3 and 4; item 300; when none of the access-
permissions for a file-object 300 matches User 2's user-token TOKEN 2, a full, file open, access
check is performed to determine the access-permission granted to User 2).

As per claim 9, Hunnicutt et al. further discuss:

that the results of the authorization protocol to determine an authorization status of the
resource are added to the cache (see column 6, lines 48-52; figure 4, items 300 and 400; after the
file-open access check is completed, an access-permission is added to the access-cache so that a
file-open access check will not need to be performed the next time User 2 requests the file-object
300).

As per claims 10 and 18, Hunnicutt et al. illustrate a method and computer program
product on a computer usable medium to determine authorization privileges for resources for a
user of a computer system, comprising:

intercepting an authorization request from a user for a particular resource (see column 6, lines 13-15; figure 3, item 300; User 1 requests to read a file);

searching a cache to determine if the resource may be accessed (see column 6, lines 13-19; figure 4, items 401 and 402; checking the access-cache for an access-permission matching the current request, comprising a file-name field and a user-token field,

where the cache contains results of prior authorization requests (see column 4, lines 11-21; figure 2, items 204 and 205; where the user token corresponds to a particular user at this request during the current login and previous requests during previous logins); and

if a hit is made in the cache, selectively deciding the authorization request based at least in part on information found in the cache (see column 6, lines 16-22; figure 4, items 405, 300, and TOKEN1; when the access-permission contains the token for User 1 with the file-object, User 1 has been granted permission to read the file; see column 7, lines 23-32; if the user-token is not present or has been removed from the access-cache, the possibility of allowing access to resources to the user has been eliminated).

As per claims 11 and 19, Hunnicutt et al. further disclose:

that the first software authorizes or denies the use of the resource based upon predetermined parameters associated with the request (see column 6, lines 14-16; figure 4, items 401 and 402; access permission based on the user token and file-name; see column 6, lines 55-62; and on level of access, such as full control, read-write, and read).

As per claims 12 and 20, Hunnicutt et al. then specify:

that a predetermined parameter comprises a requesting resource identification (see

column 6, lines 14-16; figure 4, items 401 and 403; access permission based on the file-name of

the file-object requested by the user).

As per claims 13 and 21, Hunnicutt et al. additionally point out:

that a predetermined parameter comprises a user identification (see column 6, lines 14-

16; figure 4, item 402; access permission based on the user token).

As per claim 15 and 23, Hunnicutt et al. then elaborate:

that the outcome of the step of searching is based at least in part upon an FID (see column

6, lines 16-19; figure 4, items 401 and 405; the access-permission is searched by a file-name

field containing the name of the requested file).

As per claims 16 and 24, Hunnicutt et al. alternatively explain:

initiating an authorization protocol that determines an authorization status of the resource

when the search of the cache of authorization requests fails to reveal any requests (see column 6,

lines 35-44; figures 3 and 4; item 300; when none of the access-permissions for a file-object 300

matches User 2's user-token TOKEN 2, a full, file open, access check is performed to determine

the access-permission granted to User 2).

As per claims 17 and 25, Hunnicutt et al. further discuss:

saving in the cache the results of the authorization protocol to determine an authorization

status of the resource (see column 6, lines 48-52; figure 4, items 300 and 400; after the file-open

access check is completed, an access-permission is added to the access-cache so that a file-open

access check will not need to be performed the next time User 2 requests the file-object 300).

Claim Rejections - 35 USC § 103

6.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in
> section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are
> such that the subject matter as a whole would have been obvious at the time the invention was made to a person
> having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the
> manner in which the invention was made.

7.   Claims 5, 14, and 22 are rejected under 35 U.S.C. 103(a) as being unpatentable over

Hunnicutt et al., U.S. Patent No. 5,889,952 A as applied to claims 2, 11, and 19, respectively

above, and further in view of Garg et al., U.S. Patent Application Publication No. US

2002/0002577 A1.

Hunnicutt et al. disclose the computer system, the method, and the computer program

product of claims 2, 11, and 19, respectively. However, they do not explicitly teach authorizing

or denying use of a resource based on a time of day. Garg et al. describe authorizing or denying

use of a resource based on a time of day (see ¶ [0042]; an access control decision based on time

of day). Therefore, it would have been obvious to one of ordinary skill in the computer art at the

time the invention was made to combine the computer system, the method, and the computer

program product of Hunnicutt et al. with authorizing or denying use of a resource based on a the

time of day of Garg et al. to have complete flexibility in the definition and implementation of

customer authorization policy (see ¶ [0042]).

Telephone Inquiry Contacts

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to Justin T. Darrow whose telephone number is (571) 272-3801, and

whose electronic mail address is justin.darrow@uspto.gov. The examiner can normally be

reached Monday-Friday from 8:30 AM to 5:00 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Gilberto Barrón, Jr., can be reached at (571) 272-3799.

The fax number for Formal or Official faxes to Technology Center 2100 is (703) 872-

9306. In order for a formal paper transmitted by fax to be entered into the application file, the

paper and/or fax cover sheet must be signed by a representative for the applicant. Faxed formal

papers for application file entry, such as amendments adding claims, extensions of time, and

statutory disclaimers for which fees must be charged before entry, must be transmitted with an

authorization to charge a deposit account to cover such fees. It is also recommended that the

cover sheet for the fax of a formal paper have printed "**OFFICIAL FAX**". Formal papers

transmitted by fax usually require three business days for entry into the application file and

consideration by the examiner. Formal or Official faxes including amendments after final

rejection (37 CFR 1.116) should be submitted to (703) 872-9306 for expedited entry into the

application file. It is further recommended that the cover sheet for the fax containing an
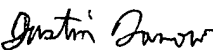
amendment after final rejection have printed not only **"OFFICIAL FAX"** but also

"AMENDMENT AFTER FINAL".

Information regarding the status of an application may be obtained from the Patent

Application Information Retrieval (PAIR) system. Status information for published applications

may be obtained from either Private PAIR or Public PAIR. Status information for unpublished

applications is available through Private PAIR only. For more information about the PAIR

system, see http://pair-direct.uspto.gov. Should you have questions on access to the Private PAIR

system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Any inquiry of a general nature or relating to the status of this application should be

directed to the Group receptionist whose telephone number is (571) 272-2100.

March 18, 2005

JUSTIN T. DARROW
PRIMARY EXAMINER
TECHNOLOGY CENTER 2100